Following Your Student – Start to Finish

Written 7.17.06 Effective 11.08.06
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I. Student contacts program

II. Enrollment meeting scheduled

III. Enrollment consists of:

- Discussion/counseling with student determining the student's purpose for inquiring about adult education services.
- Initiating a student file:
  - Start SEOP process (see SEOP form) by gathering demographic information including name, address, residency verification, statewide student identification number (SSID), etc. in addition to student's information pertinent to labor force status, economic status, institutionalization (if applicable), and literacy program.
  - Administer appropriate assessment(s) to student to establish program type (ESOL, ABE, or AHSC), establishing the student's Entering Functioning Level (EFL) that is used to track all level gains for the fiscal/program year, and to facilitate establishment of the student's goal(s).
  - Complete the student's SEOP:
    - Use the comment section to make notes pertinent to student progress that might include additional information pertaining to goal attainment, accommodations, etc.
    - Have student sign the "Waiver of Release of Information" form.
      - This form must be completed and maintained by the initial managing program. However, it may be updated by programs at anytime.
  - Note: A student's initial EFL is used for a fiscal/program year. A student's level gains are based on the initial EFL. A new assessment must be completed at the beginning of a new fiscal year unless a full "pre/post-test" was administered during May or June prior to the beginning of the fiscal year rolling over into the new fiscal/program year establishing the student's EFL.
- Assign course(s), instructors, etc.
- All of the above student data must be entered into UTopia for state and federal outcomes.

IV. Instruction consists of:

- Teacher/student interaction during class.
- Counseling pertinent to student progress.
- Assessment within the confines of the course.
- Selecting curriculum that is appropriate for adult learners and meets the specific needs of the student.
- Reassessment of academic skill(s), at a minimum, after 60 hours of instruction.
- Continue with instruction; adjust curriculum (as needed).
- Recording of grades (as needed).
- Completing individual follow-up survey as stated in Core Follow-Up Outcomes Measurement guidelines.
- Repeating the process until the student terminates his/her program.

V. Termination consists of:

- Student terminating his/her enrollment.
- Student stopping attendance, not receiving instruction for 90 days, and not being scheduled to receive further instruction.
- Student obtaining goal(s) and not wanting to continue.
- Filing the student's record in an "inactive file" for perpetuity.

Maintaining Student Records and Program Assurances

Student Records:

1. Student records may be accessed by USOE, OVAE staff, and financial auditors at any time for program monitoring and compliance purposes.
2. Every student's file and the contents listed below are to be maintained in a secure manner.
3. A student file contains all documentation pertinent to the student's education,

The following items are required to be maintained in a student file for perpetuity. (If a program so chooses, student file information may be scanned and stored electronically by the program.)

- Copy of the Education Withdrawal and Application form for Adult Education Program and/or GED® Testing Application for 16-18 Year-Old-Non-Graduates for out-of-school youth ages 16 – 18
- Copies of all grades, including report cards and transcripts obtained from outside agencies
- Current cumulative transcript
- Copy of official GED® report for GEDs passed outside of the state of Utah.
- Copies of all pay stubs used for awarding Career and Technical Education or elective credit
- Copies of professional licenses(s) or certificated skill training used for awarding Career and Technical Education credit
- Copy of military Form DD214 used for awarding Healthy Lifestyles or elective credit
- Completed Core Follow-Up Surveys
- Copies of releases of information requesting student record information and/or releasing student record information
- Copy of special education student's most recent special education IEP if the student is under the age of 22
- Outside psychological, psychiatrist or medical documentation used in determining education programming accommodations
- Record of accommodations provided
- Documentation of adult education graduation date

The following items are required to be maintained for the current fiscal/program year in a student's file for auditing and outcome purposes. (If a program so chooses, student file information may be scanned and stored electronically by the program.)

- Current SEOP
- Signed or refusal to sign "Waiver of Release" form if this is the student's first adult education enrollment
- All assessment protocol score sheets (pre- and post-tests) used to determine student's EFL and level gains
- Contact hour (non-instructional and instructional) documentation

Program Assurances:

By accepting state and/or federal funds, programs provide certification that the program will:

Federal Assurances

A. Any funds received under this grant will not be used to supplant non-federal funds normally provided for services of the same type, and the applicant will make provisions for such fiscal control and fund accounting procedures as may be necessary to assure proper disbursement and accounting for federal funds.

B. The grantee assures that funds will only be expended on eligible activities outlined in the Adult Education and Family Literacy Act.

C. The grantee will offer instruction in collaboration with other organizations/agencies serving those individuals most in need of literacy services, including those with low income; housed in correctional facilities; needling basic literacy or English acquisition; seeking a high school diploma/GED; single parents; or employment, etc.

D. The grantee assures that no person on the basis of age, provided the person is 16 years of age or older, will be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity which receives or benefits from Adult Education and Family Literacy Act financial assistance.

E. The grantee assures that no qualified handicapped person provided the person is 16 years of age or older shall, on the basis of handicap, be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination under any program or activity which receives or benefits from state adult education financial assistance.

F. The grantee will comply with all civil rights regulations prohibiting discrimination in program benefits, participation, employment, or treatment on the basis of race, color, national origin, sex, and disability.

G The grantee will operate in compliance with all federal rules, regulations, and state guidelines, maintaining effective control over, and accountability for all grant funds, property, and other assets or, if that is not feasible, will transfer title to the Utah State Office of Education – Adult Education Services. Grantees shall adequately safeguard all property and assets and shall assure that they are used solely for authorized adult education purposes as defined by AEFLA.

H. The grantee will annually submit a program compliance audit conducted by an independent source validating data collected during the fiscal year July 1 through June 30.

I. The grantee will submit an appropriately amended application prior to any material change greater than 10% affecting the purpose, administration, organization, budget, or operation of an approved project.

J The filing of this application has been authorized by the governing body of the applicant. A signed copy of this grant and supporting documentation will be maintained for a period of seven years, three years on site and four years available.

K. The grantee will give the grantor agency or the U. S. Comptroller General, through any authorized representative, access to all records or documents related to the grant, including the submission of reports as may be required.

L. The grantee will comply with the requirements of the Family Educational Rights and Privacy Act of 1974.

M. The grantee assures that funds will be used only for financial obligations incurred during the grant period.

N. As a state requirement, the grantee will provide state and/or local matching expenditures equal to or greater than the aggregate amount expended during the preceding fiscal year. State and/or local matching will be a minimum of twenty-five percent (25%) of the federal funding per year.

O. The grantee will provide for cooperation with community action programs, work experience programs, AmeriCorps, work-study, and other programs relating to the antipoverty effort.

P. The grantee will provide for cooperation/coordination with programs under the Utah Department of Workforce Services, the Utah State Office of Rehabilitation, and the Utah System of Higher Education.

Q. The grantee will provide for coordination with state and local agencies' reading improvement programs designed to provide reading instruction for adults.

R. The grantee will assure that no expenditure of program funds will be made for any activity of service related to sectarian instruction or religious worship.

S. The grantee will prepare reports, containing such information as the State Superintendent of Public Instruction may reasonably require, to determine the extent to which funds have been effective in carrying out AEFLA and legislative purposes and project objectives.

T. The grantee assures that the program will:
(1) Utilize qualified administrative personnel and instructional staff.
(2) Provide guidance and counseling services.
(3) Provide year-round instruction as feasible.
(4) Develop effective recruitment and retention strategies.
(5) Provide adequate ADA and 504 accessible facilities, equipment, and materials, meeting adult learners' needs.
(6) Provide services at a reasonable cost/benefit.

U. The grantee assures that resources will be available, and a process established, to develop a Student Education Occupation Plan (SEOP) for each student.

V. The grantee assures that the Utah State Board of Education's requirements for demonstrated competencies of speaking, listening, reading, writing, computation (arithmetic), skills in democratic governance, skills as a consumer, problem solving skills, and career/occupational skills development will be top priorities of the program.

W. As a state requirement, the grantee assures incorporation of the Utah Adult Education Learning Standards into all eligible instructional activities.

X. As a state requirement, the grantee assures that the state-approved standards for English for Speakers of Other Languages (ESOL) will be used throughout the duration of the grant.

Y. The grantee assures that all program staff assigned to administer state approved assessments obtain initial, ongoing, and/or recalibration training as required and defined in the Utah State Office of Education – Adult Education Policy.

Z. The grantee assures that community representatives, including residents, will be involved in program development and will continue to be involved in carrying out this program. One way to do this is through a Literacy and Adult Education Advisory Committee with written minutes of action taken on program agenda items.

AA. The grantee assures that state-required program data (including students' Social Security Numbers and Student Service Identification Numbers-SSID) will be collected and entered into the state-developed management information system (UTopia – Utah's Online Performance Information for Adult Education). Social Security numbers and/or Student Services Identification (SSID) numbers are used for data matches with the Utah Department of Workforce Services, the Utah System of Higher Education, and the USOE data warehouse.

BB. The grantee assures that requests for reimbursement with supporting expenditure back-up documentation will be submitted at least quarterly to the Utah State Office of Education.

CC. The grantee assures that receipts and expenditures of all funds associated with adult education will be documented and accounted for, and available for review as required by the USOE.

DD. The grantee assures that all fees and tuition collected from adult education students are used to provide additional adult education and literacy services that it would otherwise be unable to provide and that the collection of fees and tuition are documented.

EE. Program income from tuition and fees must be reported to the Utah State Office of Education School Finance and Statistics division separately from K—12 and community education, and;
(1) accounted for in program records by program allocation code, and
(2) used only for costs allowable under AEFLA.

State Assurances

A Local Education Agency (LEA) receiving adult education state/legislative funds will follow such fiscal control and fund-accounting procedures as may be necessary to assure proper disbursement and accounting.

B. If it becomes necessary for the LEA to act on legislative or Utah State Board of Education mandated reductions in funding, adult education funds may be only reduced proportional to all other district program reductions.

C. The LEA is aware of legislative ability to reduce funding for education and as such the Utah State Board of Education may recall funds as needed.

D. The LEA will operate in compliance with appropriate rules, regulations, state policies and guidelines. The LEA will maintain effective control over and be held accountable for all awarded funds, property, and other assets. The LEA shall adequately safeguard all property and shall ensure that it is used solely for authorized adult education purposes or, if that is not feasible will transfer title to the Utah State Office of Education – Adult Education Services.

E. The filing of this plan has been authorized by the governing body of the LEA, who act as the authorized representatives of the LEA in connection with the plan.

F. The LEA will submit an appropriately amended program plan prior to any material change greater than 10% affecting the purpose, administration, organization, budget, or operation of approved project.

G. Adult education funds are to be used solely to provide direct instruction and administrative oversight to adult education programs.

H. The LEA will comply with Title VI of the Civil Rights Act of 1964 prohibiting discrimination in program benefits, participation, employment, or treatment on the basis of race, color, or national origin, and in compliance with the provisions of Title IX of the Education Amendments of 1972 prohibiting discrimination on the basis of sex.

I. The LEA assures that no person on the basis of age, provided the person is 16 years of age or older, will be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity which receives or benefits from state/legislative adult education funding.

J. The LEA assures that no qualified handicapped person provided the person is 16 years of age or older shall, on the basis of handicap, be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination under any program or activity which receives or benefits from state/legislative adult education financial assistance.

K. The LEA assures that it will not conduct a program of instruction unless it determines that the program will (a) utilize qualified administrative personnel and instructional staff; (b) provide adequate facilities that are ADA and 504 accessible; (c) utilize equipment, materials, and guidance and counseling services meeting the adult learners' needs; (d) provide effective recruitment and retention of participants in adult education programs; (e) provide for economical operation in providing an adequate learning environment; and (f) provide year-round instruction as feasible.

L. The LEA assures that public state funds will solely be used to provide adult education instructional services to individuals who provide proof of Utah residency.

M. The LEA will give the USOE, through any authorized representative, access to and the right to examine all records, papers, or documents related to the program plan, including the submission of reports as may be required. A copy of the State Program Plan and supporting documentation must be maintained by the program for a minimum of seven years; three years on site and four years available.

N. The LEA will comply with the requirements of the Family Education Rights and Privacy Act of 1974.

O. The LEA/program assures that funds will only be expended on eligible adult education activities as defined in state statute and Utah State Office of Education board rule and policy. Any request for financial reimbursements must be accompanied by supporting documentation (receipts) of expenses.

P. The LEA/program will provide for cooperation/coordination of this program with other state and local agencies including the Utah Department of Workforce Services, the Utah State Office of Rehabilitation, and the Utah System of Higher Education.

Q. The LEA/program will assure that no expenditure of program funds will be made for any education program, activity, or service related to sectarian instruction or religious worship.

R. The LEA/program will make such reports, including reports of evaluations, in such form and containing such information as the USOE may reasonably require.

S. The LEA/program assures that state funds will be used within the program year awarded and may carry over with USOE permission no more than 10% or $50,000 annually, whichever is less. Funds carried over may be considered in determining the school district's allocation for the next fiscal year. Funds carried over shall be expended within the next fiscal year. If funds are not expended they shall be recaptured by the USOE on February 1 of each program year.

T. The LEA/program will annually submit a program compliance audit conducted by an independent source validating data collected during the fiscal year July 1 through June 30.

U. The LEA/program assures that resources will be available, and a process established, to develop a Student Education Occupation Plan (SEOP) for each student.

V. The LEA/program assures that the Utah State Board of Education's requirements for demonstrated competencies in the Adult High School Completion program and Core Curriculum will be followed for persons seeking an adult education secondary diploma.

W. The LEA/program assures that the state-approved standards for English for Speakers of Other Languages (ESOL) will be used with adult education learners receiving ESOL services.

X. The LEA/program assures incorporation of the Utah Adult Education Learning Standards into all eligible instructional activities.

Y. The LEA/program assures that all program staff assigned to administer state-approved assessments obtain initial, ongoing, and/or recalibration training as required and defined in the Utah State Office of Education – Adult Education Policy.

Z. The LEA/program assures that state-required program data (including students' Social Security Numbers and Student Services Identification Numbers—SSID) will be collected and entered into the state-developed management information system (UTopia – Utah's Online Performance Information for Adult Education). Social Security numbers and/or Student Services Identification (SSID) numbers are used for data matches with the Utah Department of Workforce Services, the Utah System of Higher Education, Applied Technology Colleges, and the USOE data warehouse.

AA. The LEA/program assures that community representatives, including residents, will be involved in program development and will continue to be involved in carrying out this program.

BB. The LEA/program assures that the Utah State Board of Education's requirements for demonstrated competencies of speaking, listening, reading, writing, computation (arithmetic), skills in democratic governance, skills as a consumer, problem solving skills, and career/occupational skills development will be top priorities of the program.

CC. The LEA/program assures that receipts and expenditures of all funds associated with adult education will be documented and accounted for and available for review as required by the USOE.

DD. The LEA/program assures that all fees and tuition collected from adult education students are used to provide additional adult education and literacy instructional services that it would otherwise be unable to provide, and that the collection of fees and tuition is documented.

EE. Program income from tuition and fees must be reported to the Utah State Office of Education School Finance and Statistics division separately from K-12 and community education, and:

(1) Accounted for in program records by program allocation code, and
(2) Used only for costs allowable under AEFLA and state statute.

Validating Disbursement of Utah Adult Education Funds

The following is provided as a guide to assist in the auditing of items to ascertain program outcomes.

Items to Compare

	UTopia	Paper Trail
Enrollees	Utopia verifies	No verification required
Contact Hours	UTopia report: Student Total Contact Hour Details	1. Verify that classroom "roll books"/teacher maintained attendance sheets etc. = instructional contact hours. 2. Verify that documentation (student log) content/purpose of non-instructional hours.
Diploma	UTopia report: Student Official Transcript Student Transcript Workup	1. Verify that all credits earned or awarded in the student's file are entered in UTopia. 2. Verify that the program graduation requirements are met. 3. Verify that earned and awarded credit has the required documentation validating completion of course work (including Official GED Report if the GED was used for credit) in the student's file.
Level Gains	UTopia report: Complete Test History	Verify that assessment protocols' face sheets (must include student's name, date of birth, date of test, test administrator's name, and raw scores maintained in the student's file matches what was entered in UTopia.
GED	UTopia report: Verified GED Status	If a staff member has checked the box to verifying an out-of-state GED, a copy of the student's Official GED Report is in the student's file.
Credits	UTopia report: Student Official Transcript Student Transcript Workup	Verify that student's file contains transcripts from other institutions; GED and other sources of credit records validating the both earned and awarded credits.
Proof of Utah Residency	UTopia report: Student Proof of Residency	Proof of Utah residency must be maintained in each student's file following the parameters as defined in Board Rule R277-733-6.

Adult Education Program Fiscal Audits

Annually a program audit completed by an independent auditor is required to validate program outcomes.

Audits are to be completed annually after June 30th – the end of the program year.

Program director and auditor must reconcile and agree on program outcomes prior to the auditor's submission of the audit findings.

Annually program audits are due directly from the auditor to the USOE –Adult Education Services State Coordinator by September 15th.

Auditors are expected to select and review 5 percent of the program's student files (not to exceed 20 student files), assuring that reported UTopia data is accurate in determining program outcomes.

Costs of program audits are borne by the program.

The following items are required to be maintained for the current fiscal/program year in a student's file for auditing and outcome purposes. (If a program so chooses, student file information may be scanned and stored electronically by the program.)

- SEOP
- Signed or refusal to sign Waiver of Release forms
- All assessment protocol score sheets (pre- and post-tests) used to determine student's EFL and level gains
- Contact hour (non-instructional and instructional) documentation

The following items are required to be maintained in a student file for perpetuity. (If a program so chooses, student file information may be scanned and stored electronically by the program.)

- Copies of all grades, including report cards and transcripts obtained from outside agencies
- Current cumulative transcript
- Copy of official GED report for out of state GED accomplishments
- Copies of all pay stubs used for awarding Career and Technical Education or elective credit
- Copies of professional licenses(s) or certificated skill training used for awarding Career and Technical Education credit
- Copy of military Form DD214 used for awarding Healthy Lifestyles or elective credit
- Completed Core Follow-Up Surveys
- Copies of releases of information requesting student record information and/or releasing student record information
- Copy of special education student's most recent special education IEP if the student is under the age of 22
- Outside psychological, psychiatrist or medical documentation used in determining education programming accommodations
- Record of accommodations provided
- Documentation of adult education graduation date
- Proof of Utah residency must be maintained by the first managing program

Student Education Occupation Plan
(SEOP)
Goal-Setting Procedures

Written 12.18.06 Effective 07.01.07
Revised 7/1/10 Effective 7/1/10

Introduction

Setting and Achieving Goals — Overview

Student/learner goals are defined in the student's Student Education Occupation Plan (SEOP). The SEOP is focused and provides an accountability benchmark by which student progress can be measured. Student goals (core outcomes) required by State and National Reporting System (NRS) standards must be attainable and measurable within a respective program/reporting year.

All students enrolled in an adult education program are there to improve their basic education skills; advancing their Entering Functioning Level (EFL). The goal(s) set with the student must be verifiable following National Reporting System standards. Core goals/outcomes include the following: obtain a Utah High School Completion Diploma for successfully passing all five of the GED® Tests or an Adult Education Secondary Diploma based on Carnegie units of instruction, obtain employment, retain employment, or continue to post-secondary education or training.

Purpose

The SEOP process, subsequent instruction, and services must be oriented toward assisting the student achieve a goal(s).

The collection of accurate data statewide ensures legislative and congressional bodies that adult education programs are positively affecting the state's communities by providing a concerted effort in assisting adults in becoming literate, obtaining the knowledge and skills necessary for employment and self-sufficiency, and completing a secondary school education.

Local Program Responsibilities

Goal Setting

1. Programs will develop and implement written procedures to orient students to adult education and literacy programs. (See Appendix A – Student Intake Process.)

2. Students will develop an individualized Student Education Occupation Plan at the beginning of the student's program year in conjunction with program staff (using the UTopia state-required SEOP form) with goal(s) focusing on instruction and learning through the following process:
   A. Assist students in identifying their education goal(s).
      NOTE: All students are enrolled in an adult education program to improve their basic education skills advancing their Entering Functioning Level (EFL). Programs *must* provide instruction to address the student's basic education need (advancing their Entering Functioning Level) in addition to addressing at least on or more core goals that may be selected by the student as determined by the student's interest and as agreed upon by student and staff as being reasonably attainable during the program year.
   B. Set a realistic timeline for goal attainment.
   C. Establish target evidence of intended goal achievement.

3. A student's goal(s) *cannot* be set unless the program can provide instruction and any necessary support services required to assist the student in furthering achievement of his/her specific goal(s).

4. Program instruction is to be oriented toward assisting the student in achievement of all goals that are identified and agreed upon between the student and the program counseling/mentoring staff.

5. Appropriate goals are to be set meeting specific criteria:
   - Within the first twelve contact hours, the student must complete a full assessment (TABE, BEST Literacy and BEST Plus or CASAS). The results of the assessment will determine the student's Entering Functioning Level (EFL) and subsequent area of academic focus. Education goal(s) must be identified reviewed and updated reflecting the student's successes and accomplishments. At a minimum, goal(s) are to be reevaluated annually until the student exits an adult education program.
   - All selected goal(s) should be realistic and attainable by the end of the school year in which the student is enrolled. The goal(s) set with the student must be verifiable following NRS Collection Times/Reporting Times for Core Follow-Up Outcome Measures.

- Students, as part of enrollee status, must select at a minimum one core goal Avoiding or not setting additional student goal(s) may be a disservice to a student.

- Good instructional practice requires program staff members to assist learners to achieve all of their established goals.

NOTE: "Enrollee status" means the student has completed a full assessment; has established an EFL; has completed the goal(s) setting process, establishing at minimum one core goal; has a funding code designation; and has attained 12 contact hours. If any of these has not been met, a student is designated as a "participant" and will be allowed a maximum of 11.99 contact hours total for the fiscal/program year. State funding for school district program outcomes are generated only for "enrollee status" students.

Students Attending Concurrent Programs

Parameters pertaining specifically to students who, due to educational needs and personal desire, choose to attend more than one adult education program at any given time are as follows.

1. The initial program that the student enrolls in is designated as the managing program and is responsible for assessments (pre- and post- tests); the development and maintenance of the SEOP and associated goals; and student contact hours, including instructional and non-instructional.

2. Concurrent program(s) cannot edit the SEOP and are responsible for their instructional and non-instructional contact hours and curriculum/instructional outcome data.

For state funding purposes (applies to districts only):

1. The managing program has the potential to generate the following outcomes:
   - "Enrollee status"
   - Contact hours
   - Level gains
   - Credits
   - High School Completion Diploma for successfully passing all five of the GED® Tests or an Adult Education Secondary Diploma based on the completion of Carnegie units of instruction (whichever comes first)

NOTE: For a program to realize the associated funding outcomes, a student must have met requirements for "enrollee status" prior to taking the GED Tests or prior to receiving an adult education secondary diploma.

2. Concurrent programs have the potential to generate the following:
   - Contact hours
   - Credits

Students Who Transfer to another Program during the Program Year

If a student chooses to transfer to another program during a program year, the following program parameters apply.

1. The "new" program becomes the managing program and, as such, all UTopia student data transfers to the new manager.

2. The transfer program must set a new funding code, and establish and set new education and/or occupation goals with the student.

Maintenance of Records

Programs are responsible to develop, enter (into UTopia) and maintain the student's SEOP data, including student demographics, assessments, and the culmination of goal attainment and outcome information. If a program so chooses, student file information may be scanned and stored electronically by the program.

The following must be maintained for perpetuity in the student's file:

- Copies of all grades, including report cards and transcripts obtained from outside agencies
- Current cumulative transcript
- Copy of official GED report if awarded outside the state of Utah
- Copies of pay stubs used for awarding Career and Technical Education or elective credit
- Copies of professional licenses(s) or certificated skill training used for awarding Career and Technical Education credit
- Copy of military Form DD214 used for awarding Healthy Lifestyles or elective credit
- Completed Core Follow-Up Surveys
- Copies of releases of information requesting student record information and/or releasing student record information
- Copy of special education student's most recent special education IEP if the student is under the age of 22
- Outside psychological, psychiatrist or medical documentation used in determining education programming accommodations
- Record of accommodations provided
- Documentation of adult education graduation date
- Proof of residency

The following items are required to be maintained for the current fiscal/program year in a student's file for auditing and outcome purposes:

- Current SEOP, including signed or refusal to sign Waiver of Release forms
- All assessment protocol score sheets (pre- and post-tests) used to determine student's EFL and level gains
- Contact hour (non-instructional and instructional) documentation

Program Responsibilities for Reporting Core Outcome Data

Programs are responsible for reporting data. Outcomes are reported annually from the state to the Office of Vocational and Adult Education (OVAE) and the Utah State Board of Education and Utah State Legislature as requested.

Four core outcomes/goals must be verified for students who exit programs. States are required to assess programs' performance on the following core indicators (Section 231(e) (2) of the Workforce Investment Act (WIA). Thus, programs will collect data for all students' education target area of instruction based on their Entering Functioning Level and the following core goals:

- Entered or gained employment – student is unemployed at entry, and has a goal to obtain employment.
- Retained employment – student enters employment after leaving the program, or is employed at the time of entering the program and maintained or improved his/her employment status.
- Attainment of a High School Completion Diploma based on passing all five of the GED® Tests or an Adult Education Secondary Diploma based on Carnegie units of instruction.
- Entered post-secondary education or training program.

Verification of Core Goal Completion

Programs must verify the completion of the four core goals, using NRS reporting time standards. The Utah State Office of Education, Adult Education Services will verify student level gains based upon academic instruction and subsequent post-testing of the student's academic target EFL area of focus. The validation of employment goals, post-secondary education outcomes, and GED® attainment outcomes for programs will be verified by the USOE as long as the percentage of the program's students releasing social security numbers is more than 51 percent. Information submitted and entered into UTopia by programs is used to conduct data matching with other state agencies. Programs with less than 51 percent of student-reported social security numbers for each goal will verify the completion of core outcomes through the completion of student surveys.

Collecting and reporting of data is to be done as follows:

Student Population, Collection Times, and Reporting Times for Core Follow-Up Outcome Measures

Core Outcome Measures	**Student Population to Follow**	**Time Period to Collect Measures**
Entered (Gained) Employment	Students who are unemployed at entry, with employment goal, and exit during the program year	By the end of the first quarter after the student's exit quarter*
Retained Employment and Improved Employment	1. Students at entry who are not employed, with a goal of obtaining employment, and enter employment by the first quarter after the exit quarter 2. Students employed at entry with a goal of retained or improved employment	By the end of the third quarter after exit quarter
Receipt of Adult Education Secondary Diploma or High School Completion Diploma based on the passing of all five GED Tests	Students with a goal of obtaining a Utah Adult Education Secondary Diploma or a High School Completion Diploma based on the passing of all five GED Tests	July 1–June 30 annually
Placement in Post-Secondary Education or Training	Students with a goal of entering post-secondary education or other training who exit during the program year	July 1–June 30 annually

* The exit quarter is the quarter when instruction ends, the student terminates participation, or the student has not received instruction for 90 days and is not scheduled to receive further instruction. Employment obtained while the student is enrolled can be counted, but **must be reported** during the first quarter **after exiting the program**.

Data is obtained using the following methods:

Data Matching Core Outcomes Using Social Security Numbers

- For students who establish a goal of either "entering (gaining) employment" or "retaining or improving employment," students' social security numbers will be used by the Utah State Office of Education (USOE) for data matching purposes with the Department of Workforce Services (DWS) to verify employment with the State wage record database.
- For students who establish a goal of obtaining a High School Completion Diploma for passing all five of the GED® Tests or entering a post-secondary education or training program, students' social security numbers will be used by the USOE for data matching purposes with the state GED testing database and the institution of higher education database.
- The percentage of students who have reported social security numbers for each specific goal will be evaluated. For each of the four core goal areas (get a job, retain a job, obtain a High School Completion Diploma for passing all five of the GED Tests or Adult Education Secondary Diploma, or enter a post-secondary or training program), the percentage of students who have reported social security numbers will be evaluated. Goals for which the program reports more than 51 percent of the students having released social security numbers will not need to survey students to verify core outcomes for the given reporting time period. The percentage is determined for the time period when the student exits the program, not at the time when a follow-up survey is to be completed and reported.

Verifying Core Outcomes for Programs without Sufficient Social Security Numbers

The survey method must be used by programs when collecting and reporting performance outcomes on the core indicators (core outcome goals as stated on the student's SEOP) for **all** students who do not provide a social security number for data matching purposes. Students must be informed, at the time of enrollment and the development of their SEOP, that **after** exiting the program they will be contacted to complete a short survey verifying progress toward further education and employment outcomes.

- For each of the four core goals areas (entered/gained employment, retained employment, obtain a High School Completion Diploma for passing all five of the GED Tests or Adult Education Secondary Diploma, or entered post-secondary education or training), programs whose data reflects that less than 51 percent of students with given goals for the specific reporting period did not provide their social security numbers are required to conduct surveys to determine goal attainment. Specific documentation of data collection is required by the USOE to assure authenticity.
- Conducting of surveys and the collection of the data for core outcomes of entered employment and retained employment may be done as early as the first month following the exit date of the student.

Reporting Dates/Time for Collecting and Reporting Core Indicator Outcome Data

Entered and retained employment measures correspond to calendar quarters.

Quarterly Reporting for Entered and Retained Employment

Enrollee's Exit Quarter	**Collect ENTERED (Gained) Employment *BY* the END of:**	**Collect RETAINED or IMPROVED Employment *BY* the END of:**
First Quarter (July 1 – September 30)	Second quarter after exit quarter	Fourth quarter after exit quarter
Second Quarter (October 1 – December 31)	Third quarter after exit quarter	First quarter next program year after exit quarter
Third Quarter (January 1 – March 31)	Fourth quarter after exit quarter	Second quarter next program year after exit quarter
Fourth Quarter (April 1 – June 30)	First quarter next program year after exit quarter	Third quarter next program year after exit quarter

Survey Process for Collecting Required Core Outcome Data

- ***Remember that core outcome data can only be obtained during the timeframe outlined above, and only after the student has exited the program.***
- **Identifying Follow-Up Students.** UTopia will identify students who list any of the four core outcome goals on their SEOP. At the time the student is leaving a program, UTopia-generated data will assist a program in gathering accurate/complete survey information. At a minimum, the data should be retrieved quarterly.
- **Student Core Outcomes Follow-Up Survey.** Programs are only required to contact a student once. A report titled "Students Needing to Be Surveyed" will be generated by UTopia for programs to use in deciding who needs to be surveyed. Accessing the report allows programs to activate the survey process through UTopia. For students who provide an e-mail address, UTopia will e-mail the survey web link information to them. For students without an e-mail address, the survey report will provide mailing labels for programs to affix to postcards that will contain the process for completing the survey online. For students who do not have either an e-mail or a mailing address, it will be the responsibility of programs to contact students by phone to complete the survey process. Students have one month to access the web link and complete the online survey.

- For students who do not provide the program with an e-mail address, the program is required to maintain individual enrollee survey data on a Follow-Up Survey Log (Appendix D), which is to be submitted quarterly (October 15th, January 15th, April 15th, and July 15th) along with the Follow-Up Survey Summary (Appendix E) to Adult Education Services, validating the completion of enrollee surveys. Submitted data will be entered into the student's record by the USOE.
- The Follow-Up Survey Log and Follow-Up Survey Summary information submitted to the USOE will be used by the USOE during program monitoring visits to verify student core outcomes.

Appendix A

Student Intake Enrollment Process (SEOP)

To assure appropriate assessment and academic placement, the intake enrollment-SEOP process for a student should take place within the prescribed timeline (the first 12 contact hours). A student's SEOP must be reviewed and updated in UTopia a minimum of at least one time annually, on the student's "anniversary" date.

Enrollment Process:

1. The student identifies for designated program staff the reason(s) he/she is interested in an adult education program.

2. Program staff member collects student demographic information, including:
   - Student's first and last name (note that legal names must be used for data matching purposes)
   - Social security number (if available)
   - Date of birth
   - Student number from K-12 (this can be found on the student's Utah K-12 transcript)
   - Gender
   - Ethnicity
   - Refugee status information if the student is a refugee
   - Proof of residency
   - Address
   - Phone number
   - Emergency contact information
   - Signature for Release Waiver for data matching purposes (Note: This form must be maintained in the student's file for the duration of the program year.)
   - Statewide Student Identification (SSID)* number for any students enrolled in a public education K-12 program during or after 2005.

3. The student signs a release of information for previous school records, including grades/transcripts and special education records if applicable (Appendix B).

4. The student signs a release of information for diagnostic evaluations as applicable, including medical, psychiatric, or clinical diagnostic.

5. Student assessment is completed using BEST Literacy and BEST Plus, CASAS or TABE, depending upon the student's reason(s) for seeking an adult education program.

6. Counseling/mentoring is provided to the student to determine the most appropriate instruction focus (ESOL, ABE or AHSC) based upon assessment results. The counseling process also includes staff members identifying with the student other assistance the student may need/qualify for, and barriers that may keep him/her from attending and completing the course of instruction.

7. Core outcome goal(s) are defined and agreed upon between the student and the adult education staff member as goal(s).

8. Optional occupational goal(s) may be identified.

9. Labor Focus Status, Student Status, Institutionalized Status, and Literacy Program Status, as appropriate, must also be identified on the SEOP.

10. The student is provided with individualized course information as to when and where course(s) will be taught and who the instructor(s) will be.

11. Student is provided with program "rules" pertinent to program operation.

The SEOP process is repeated annually with each returning or "new" student, either during the May/June "rollover data period" or within the first twelve hours of the program year following the UTopia 10.1.1.1 policies.

*Students who were enrolled in a public education program during 2005 and after have been assigned an SSID. The obtaining and entering of the SSID into UTopia will allow student assessment, SEOP, credit, and completion data to be released to higher education institutions when the adult learner transitions to post-secondary programs.

Appendix B

Sample 1

Request for Confidential Information

I, _____ authorize _____
(Name of person or program)

to request and receive the information specified below from the following agency or diagnostician for the purpose of supporting my educational program.

Agency or Diagnostician's Name: _____

Address: _____

City, State and Zip Code: _____

Specific Information Requested: _____

_____

_____

This release of information is only valid from the date of signature to _____ (specify ending date) or until canceled. I understand the information will be kept confidential and will not be shared with any other agency without my consent. This release of information form has been read/reviewed with me, and I understand its content.

Student Signature: _____

SSN: _____

DOB: _____

Date: _____

Sample 2

Request for Confidential Information

I, _____ authorize _____
(Student's name) (Program or diagnostician)

to request the following information from the agency/diagnostician listed below.

Agency or Diagnostician's Name and Title: _____

Address:_____

_____

Phone Number: _____

Information Requested:

___ GED Test scores – GED Testing Center where tests taken:_____
Approximate date of tests: _____

___ Academic testing

___ IEP or adult education SEOP

___ Psychological testing

___ Direct communication

___ Other items as specified: _____

_____

The release of confidential is only valid from the date of my signature to _____ (specify date) or until canceled. I understand the information will be kept confidential and will not be shared with any other agency or diagnostician without my consent. This release form has been read/reviewed with me, and I understand the content.

Student Signature: _____

DOB: _____

SSN: _____

Date:_____

Sample 3

Release of Confidential Information

I, _____ authorize _____
(Name of person or program)

to release the information specified below to the following agency or diagnostician:

Specific Information Released:_____

_____

_____

Agency or Diagnostician's Name and Title:_____

Address:_____

City, State and Zip Code:_____

This release of information is only valid from the date of signature until _____ (specify ending date), or until canceled. I understand the information will be kept confidential and will not be shared with any other agency/diagnostician without my consent. This release of information form has been read/reviewed with me, and I understand its content.

Student Signature:_____

SSN:_____

DOB:_____

Date:_____

Sample 4

Release of Confidential Information

I _____ authorize _____
(Name of person or program)

to release the following information to the agency/diagnostician listed below.

Information released:

___ TABE testing

___ CASAS or BEST testing

___ GED Test scores – GED Testing Center where tests taken: _____
Approximate date of tests: _____

___ IEP or adult education SEOP

___ Grade transcript

___ Antidotal notes

___ Direct communication

___ Other items as specified:_____

_____

Release to:
Name of Agency/Diagnostician:_____

Address:_____

Phone Number:_____

This release of information is only valid from the date of my signature until _____ (specify ending date), or until canceled. I understand the information will be kept confidential and will not be shared with any other agency/diagnostician without my consent. The release form has been read/reviewed with me, and I understand its content.

_____

(Student Signature) (Date)

Appendix C

Either by a phone call or through the use of a postcard, students surveyed must be asked the following questions pertinent to their SEOP core outcome goals.

UTAH ADULT EDUCATION
CORE OUTCOMES FOLLOW-UP SURVEY

(Pre-fill the following information)

Student Name: _____ Date exited program: _____
Student's SEOP goal(s) to be measured: _____
Date survey sent: _____

(Student completes the following information)
I got a job at _____

I am still working there: Yes _____ No_____

I took and passed the GED Tests: Yes _____ Date passed _____

I have received my adult education secondary diploma: Yes _____Date _____
Program issuing diploma: _____

I started college on: _____
(Date)

Please mail this in the nearest mailbox.

Thank you for your time.
(Signature of program staff member)

Returned survey cards are to be maintained in the student's file. This same "form" is be used as a phone survey.

Results from either phone surveys or postcard surveys are to be documented on the above form and maintained in the student's file.

Appendix D

A Follow-Up Survey Log is to be maintained for all students who are surveyed as evidence of compliance for program monitoring.

Follow-Up Survey Log

Student Name	Exit Date	Survey Postcard Mailed or Phone Call Made	Date Postcard Returned	Student "Got a Job" Yes/No	Student "Still Has a Job" Yes/No	Student-Took/ Passed the GED Tests Yes/No	Student Received Adult Education Diploma Yes/No	Student Entered Post-Secondary Program or Training Yes/No

Above information completed by: _____

Appendix E

The Follow-Up Survey Log must be submitted to Adult Education Services by submitted quarterly (October 15th, January 15th, April 15th, and July 15th) along with the following Follow-Up Survey Summary.

Follow-Up Survey Summary

Core Follow-up Outcome Measures (i.e., Enrollee Had an SEOP Goal to…)	**Total** Number of Enrollees With a Short- or Long-Term Goal to…	Number of Enrollees Who Have **EXITED** the Program With Core Outcome Measure as a Short- or Long-Term Goal to…	Number of **EXITED** Enrollees Responding to the Survey	Number of **EXITED** Enrollees Responding to the Survey Who Achieved Outcome(s)
(A)	(B)	(C)	(D)	(E)
Entered (Gain) Employment				
Retained or Improved Employment				
ONLY Obtained GED; Did Not Continue Education to Complete Secondary Diploma				
Obtained Secondary Diploma				
Entered Post-Secondary Education or Training				

NOTE: Both the Follow-Up Survey Log and the Follow-Up Survey Summary are NRS reports only and do not affect state funding.